

APPLICATION FOR REGISTRATION OF AGENT
NORTH DAKOTA SECURITIES DEPARTMENT
SFN 51529 (Rev. 09-2002)

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| 8. Are you registered as a representative with the National Association of Securities Dealers (NASD)? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | |
| 9. Are you registered as a representative with a national stock exchange? Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes," with which exchange are you registered and for how long have you been so registered? | |
| | |
| 10. Have you ever offered for sale or sold securities in the State of North Dakota prior to the date of this application?
Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes," explain fully. | |
| | |
| 11. List each state (including North Dakota) and province in which you are or have been registered as a dealer or agent to sell securities, specifying the date(s) of such registration(s). | |
| | |
| 12. Have you ever been denied or been given qualified authority <u>to sell</u> securities in any state or province? Yes <input type="checkbox"/> No <input type="checkbox"/> | |
| | |
| 13. Are you now or have you ever been subject to any revocation, cancellation, withdrawal, suspension, or any adverse order or directive of the NASD, any Canadian self-regulatory association, any securities exchange, or any state, provincial, or federal agency which has the power to revoke, suspend, or deny membership or registration? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | |
| 14. Have you ever been permanently or temporarily enjoined by any court from engaging in or continuing any conduct or practice involving any aspect of the securities business? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | |
| 15. Has any broker or dealer with whom you were associated in any capacity when such action was taken ever had its membership or registration denied, canceled, suspended, or revoked or been the subject of any injunctive proceeding involving securities? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | |
| 16. Have you ever been a direct or beneficial owner of 10% or more of the stock of or interest in or an officer of a securities dealer whose registration was denied, canceled, suspended, or revoked during such period of interest or employment? | Yes <input type="checkbox"/> No <input type="checkbox"/> |
| | |

17. Have you ever been a subject of any arrests, informations, presentments, indictments, or convictions for any felony or misdemeanor, except minor traffic offenses?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
18. Have you ever been charged with fraud in civil action?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
19. Have you ever been barred or suspended from the practice of any business or profession?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
20. (a) Have you ever been refused a surety or fidelity bond?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
(b) Has any surety company paid out any funds on your coverage?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
<p>21. Have you or any organization owned or controlled by you or in which you were or are an officer, director, or partner ever been the subject of an insolvency or bankruptcy proceeding? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>IF YOUR ANSWER TO ANY ONE OF QUESTIONS 12-20 ABOVE IS "YES," FURNISH THE FOLLOWING INFORMATION ON A SEPARATE SHEET OF PAPER INCORPORATED AS A PART OF THIS APPLICATION: NAME OF FEDERAL, STATE, OR PROVINCIAL AGENCY, SECURITIES EXCHANGE, OR SECURITIES ASSOCIATION; NAME AND LOCATION OF BROKER OR DEALER WITH WHOM YOU WERE ASSOCIATED AND CAPACITY IN WHICH YOU WERE ASSOCIATED; DESIGNATION OF STATUTES, RULES, OR REGULATIONS WHICH YOU OR THE BROKER OR DEALER WITH WHOM YOU WERE ASSOCIATED WERE CHARGED WITH VIOLATING AND CHARGES MADE; NATURE AND DATE OF JUDGEMENT, DECISION, OR OTHER FINDINGS MADE, AND SANCTION IMPOSED.</p>		
22. Are you currently licensed as an insurance agent? If "yes," with what company or companies?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
23. Please list any securities examinations that you have taken, the date(s) taken and the score(s) you obtained below.		
EXAMINATION(S)	DATE(S) TAKEN	SCORE(S)
<p>24. APPLICANT HEREBY UNDERTAKES AND AGREES TO PROMPTLY FILE AMENDMENTS WITH THE COMMISSIONER AT ANY TIME WHEN THE INFORMATION PROVIDED HEREIN IS OR BECOMES INACCURATE OR INCOMPLETE IN ANY MATERIAL RESPECT AND TO PROMPTLY NOTIFY THE COMMISSIONER REGARDING ANY COMPLAINT OR ACTION INVOLVING SECURITIES FILED BY ANY PERSON AGAINST THE APPLICANT OR OF ANY DISCIPLINARY ACTION INSTITUTED OR TAKEN AGAINST THE APPLICANT BY THE EMPLOYING DEALER, THE NASD OR ANY STATE, PROVINCIAL, OR FEDERAL SECURITIES REGULATORY AGENCY.</p> <p>Signed and dated this _____ day of _____ Year _____.</p> <p>at _____</p> <p>Signature of Applicant:</p>		

State of _____)
) ss.
County of _____)

The undersigned applicant, being first duly sworn, deposes and says that he has executed the foregoing application: that he has read said application and knows the contents thereof and attached thereto; that to the best of his knowledge and belief the statements made in said application and in any rider attached thereto are true and correct and are complete in every material respect and do not contain any statement which, under the circumstances under which it is made, would be false or would tend to be misleading in respect to any material fact: and that he has read and understands the securities laws of the State of North Dakota.

(Signature of Applicant)

Subscribed and sworn to before me this _____ day of _____ Year _____

(Notary Public)

SEAL

County of _____ State of _____

My Commission expires _____

ENDORSEMENT OF APPLICATION BY
DEALER PROPOSING TO EMPLOY APPLICANT

I have examined this application and the answers provided herein. They are true, to the best of my knowledge, information, and belief. I have personally known the applicant named herein for _____ years, and on behalf of my firm, I hereby endorse the applicant as an individual of sufficient knowledge in securities, of good business standing and reputation, and of high moral character, and as one who is worthy of a securities agent's registration.

THEREFORE, in view of the showing made herein, _____
(Dealer or issuer proposing to employ applicant)

does respectfully ask that _____
(Applicant)

be registered as a securities agent in conformity with Section 10-04-10 of the North Dakota Securities Act of 1951, as amended.

Signed and sealed this _____ day of _____ Year _____

at _____

(Dealer or issuer proposing to employ applicant)

By: _____
(President, partner, or proprietor of dealer or issuer)